



Applic	plicant or Patentee: <u>Fong, et al.</u> Attorney	's Docket No	o. <u>MSKP03</u>	IUSNP		, ,
	rial or Patent No.: 09/381,556 Filed or					. •
	r: Rapid Production of Autologous Tumor Vaccines !					
	VERIFIED STATEMENT (DECI				Y STATUS	
	(37 CFR 1.9(f) and 1.					
. I heret	ereby declare that I am an official empowered to act on behal	f of the non	profit organiz	ation identified belo	w:	
	NAME OF ORGANIZATION Sloan-Kettering Inst		ancer Resear	ch .	<del></del>	
	ADDRESS OF ORGANIZATION 1275 You			<del></del>		
	-	rk, NY 1002	21			
TYPE	PE OF ORGANIZATION					
	() UNIVERSITY OR OTHER INSTITUTION OF H					
	(X) TAX EXEMPT UNDER INTERNAL REVENUE					
·	() NONPROFIT SCIENTIFIC OR EDUCATIONAL	•		State of the U	nited states (	OF AMERICA
	(NAME OF STATE	<u></u>		,		
	(CITATION OF STATUTE	<del></del>				
	() WOULD QUALIFY AS TAX EXEMPT UNDER				26 USC	
•	501(a) and 501(c)(3)) IF LOCATED IN THE UNI					
	() WOULD QUALIFY AS NONPROFIT SCIENTIF					
9	STATE OF THE UNITED STATES OF AMERICA			UNITED STATES	OF AMERICA	
Ð .	(NAME OF STATE	<del></del>				
IJ	(CITATION OF STATUTE	<del></del>				
	ercby declare that the nonprofit organization identified above					
paying	ing reduced fees under Section 41(a) and (b) of Title 35, Uni	ted States C	ode with rega	rd to the above-capt	ioned invention w	which is described in
Ţ	() the specification filed herewith					
Ħ.	(X) Application Serial No. <u>09/381,556</u> () Patent No.	, file	ed <u>Septe</u>	mber 21, 1999		_
i						<del>-</del>
identifi inventi ioncen	ereby declare that the rights under contract or law have been on timed invention. If the rights held by the nonprofit organization is listed below* and no rights to the invention are held incern under 37 CFR 1.9(d) or by any concern which would no enization under 37 CFR 1.9(e). *Note: Separate verified state invention averting to their status as small entities. (37 CFF	tion are not on the by any person of qualify as terments are to the control of th	exclusive, eac son, other that a small busin	h individual, concert the inventor, who dess concern under 3	rn or organization could not qualify a 7 CFR 1.9(d) or a	having rights to the as a small business nonprofit
	NAME James S. Quirk	. :				
3	ADDRESS 1275 York Avenue, New York	NV 10		,		•
	() INDIVIDUAL () SMALL BUSINESS CONCERN			NZATION		-
•	, () III 21 () 21 II 22 2 2 2 1 1 1 2 2 3 4 1 1 2 2 3 4 1 1 2 3 4 1 1 2 3 4 1 1 1 2 3 4 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	AD (10 ) is		TADITUS !		
prior to	knowledge the duty to file, in this application or patent, notifor to paying, or at the time of paying, the earliest of the issue if ger appropriate. (37 CFR 1.28(b)). I hereby declare that all s	fee or any m	aintenance fe	e due after the date o	on which status as	a small entity is no
the like	nformation and belief are believed to be true; and (urther that like so made are punishable by fine or imprisonment, or both c statements may jeopardize the validity of the application, ar	, under Sect	ion 1001 of T	itle 18 of the United	i States Code, and	that such willful
10130 314	e succession in a perfect the variable of the application, at	y patent issu	aniğ dieleon,	or any patent to win	ch mis verther su	Mement is directed.
NAME	ME OF PERSON SIGNING James S. Quirk	:				<u> </u>
TITLE	LE <u>Senior Vice President, Research</u>	Resourc	es Manag	ement		
ADDRI	DRESS OF PERSON SIGNING 1275 York Avenue.	New Yo	rk. NY. 1	0021	<del>,,,,,,</del>	
SIGNA	NATURE JAMES OUL	<u> </u>	·	DATE	10/26/9	79
	/ <b>/</b> ·				/ /	

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## OPPEDAHL & LARSON LLP

	nt or Patentee: Fong, et al. Attorney's Docket No. MSKP031USNP	
Applica	nt or Patentee: Fong, et al. Attorney's Docket No. MSKP031USNP	<i>J</i> .
Serial or	Patent No.: Filed or Issued:	. <i>j</i>
For:	Rapid Production of Autologous Tumor Vaccines by Using HSV Amplicon Vectors	
	VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS	
	(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION	
I hereby	declare that I am an official empowered to act on behalf of the nonprofit organization identified below:	
	NAME OF ORGANIZATION University of Rochester	
	ADDRESS OF ORGANIZATION 518 Hylan Building	
TYPEO	Rochester, NY 14627  F ORGANIZATION	
,,,,,	(X) UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION	
	() TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))	
	() NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA	
	(NAME OF STATE	
	(NAME OF STATE) (CITATION OF STATUTE)	
-	() WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC	
	501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA	
	() WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF	
ð	STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA	
Ū,		
j	(NAME OF STATE) (CITATION OF STATUTE)	
hereby	declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes	of
paying re	educed fees under Section 41(a) and (b) of Title 35, United States Code with regard to the above-captioned invention which is describe	ed in
7	() the specification filed herewith	
ñ .	(X) Application Serial No, filed	
	() Patent No, issued	
hereby	declare that the rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above	/¢
geniitied	invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to	o the
Thention	is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small busing	ess
pucein i	under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit	V.A
គ្នី the inv	tion under 37 CFR 1.9(e). *Note: Separate verified statements are required from each named person, concern or organization having tention averting to their status as small entities. (37 CFR 1.27)	nghts
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	NAME	
,	ADDRESS AND THE PROPERTY OF CONCERN (AND TRANSPORTED BY AND THE PROPERTY OF CONCERN AND THE PROPERTY OF CON	
,	) INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION	
acknowl	ledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity st	
rior to p	aying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is	ams
onger ap	propriate. (37 CFR 1.28(b)). I hereby declare that all statements made herein of my own knowledge are true and that all statements n	anda anda
n inform	nation and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements a	nd md
ne like so	made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such will	n1
alse state	ments may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is direct	ted
	by provide a significant to the state of the	
IAME O	FPERSON SIGNING Mark Coburn	
TTLE_	Interum Director, Office of Technology Transfer	
DDRES	s OF PERSON SIGNING 518 Hylan Builkding, Rochester, NY 14627	
IGNATU	JRE MUUS. Colum DATE 10-4-99	